



DOCKET NO.: MS177848.1

2152
#5
SP
6-11-03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: **Eric J. Horvitz**
Serial No.: **09/982,306**
Filed: **October 17, 2001**
For: **SYSTEM AND METHOD FOR IDENTIFYING AND ESTABLISHING PREFERRED MODALITIES
OR CHANNELS FOR COMMUNICATION BASED ON PARTICIPANTS' PREFERENCES AND
CONTEXTS**
Art Unit: **2152**
Examiner: **Unknown**

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

RECEIVED

MAY 30 2003

Technology Center 2100

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120:

Serial No.: 09/809,142
Filing Date: March 15, 2001

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) ☐ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) ☐ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

- (a) ☐ Within 3 months of the filing date or date of entry into the National Stage.
- (b) ☒ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R.

(c) ___ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) ___ The required certification is given below, or

(2) ___ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement.

(d) ___ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.


(1) ___ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or

4. Certification (if applicable)

(a) ___ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) ___ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

Respectfully Submitted,
AMIN & TUROCY, LLP

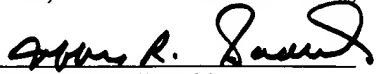
By 
Jeffrey R. Sadlowski
Reg. No. 47,914

AMIN & TUROCY, LLP
24TH Floor, National City Center
1900 E. 9th Street
Cleveland, Ohio 44114

CERTIFICATE OF MAILING

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date: 5-22-2003


Jeffrey R. Sadlowski



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete if Known			
		Application Number	09/982,306		
		Filing Date	10-17-01		
		First Named Inventor	Eric J. Horvitz		
		Art Unit	2152		
		Examiner Name	Unknown		
Sheet	1	of	2	Attorney Docket Number	MS177848.1 / MSFTP221USA

U.S. PATENT DOCUMENTS					
Examiner Initials ¹	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
		US- 5,615,342	3-25-97	Johnson	RECEIVED MAY 30 2003 Technology Center 2100
		US- 5,893,075	4-6-99	Plainfield, et al.	
		US- 6,112,098	8-29-00	Flint, et al.	
		US- 6,163,683	12-19-00	Dunn, et al.	
		US- 6,167,450	12-26-00	Angwin, et al.	
		US- 6,188,905	2-13-01	Rudrapatna, et al.	
		US- 6,272,146	8-7-01	Bowater, et al.	
		US- 6,336,194	1-1-02	Dahman, et al.	
		US- 6,385,454	5-7-02	Bahl, et al.	
		US- 6,438,217	8-20-02	Huna	
		US- 6,438,603	8-20-02	Ogus	
		US- 6,463,265	10-8-02	Cohen, et al.	
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			

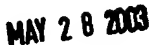
FOREIGN PATENT DOCUMENTS						
Examiner Initials ¹	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code ³	-Number ⁴ - Kind Code ⁵ (if known)			

Examiner Signature		Date Considered	
-------------------------------	--	----------------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO

SUPPLEMENTAL INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	2	of	2
-------	---	----	---

Complete if Known

Application Number	09/982,306
Filing Date	10-17-01
First Named Inventor	Eric J. Horvitz
Group Art Unit	2152
Examiner Name	Unknown
Attorney Docket Number	MS177848.1 / MSFTP221USA

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. 1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
--------------------	------------	--	----------------

KAUSHAL KURAPATI, SRINIVAS GUTTA, DAVID SCHAFFER, JACQUELYN MARTINO, and JOHN ZIMMERMAN, "A Multi-Agent TV Recorder, Adaptive Systems Department, Philips Research Briarcliff, 2001. 8 pages

ERIC J. HORVITZ and ADRIAN C. KLEIN, "Utility-Based Abstraction and Categorization", Palo Alto Laboratory, Rockwell International Research, 1993, 8 pages

ERIC J. HORVITZ, JOHN S. BREESE and MAX HENRION, "Decision Theory in Expert Systems and Artificial Intelligence", July 1988, 38 pages

ERIC HORVITZ, ANDY JACOBS and DAVID HOVEL, "Attention-Sensitive Alerting", Microsoft Research, July 1999, 10 pages

RECEIVED

MAY 30 2003

Technology-Center-21.00

Examiner
Signature

Date
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.